

Prat. E,

6 July 1971

MEMORANDUM FOR THE RECORD

SUBJECT: Contents of Black Notebooks Kept in ONE by Soviet
Military Estimators

VOLUME II: QUANTITATIVE ESTIMATES, MAJOR SOVIET FORCE COMPONENTS
AND WEAPON SYSTEMS

25X1
25X1
1.* Memorandum for the Record, by Howard Stoertz, Jr., Discussion of Future of the IAP and the JIEP, 11 September 1964, 3 pp., carbon, S. Luncheon discussion, 8 December, between Stoertz, [redacted] (DIA senior representative), and [redacted] (DIA Estimates), follow up of conversations initiated some weeks earlier, when Alain Enthoven proposed that McNamara suggest to JCS that all Pentagon planners use a single intelligence publication, the IAP, as basic source for numbers on future Soviet military forces. Now favored by the two DIA representatives, who realize it might lead to elimination of the JIEP, DIA's ten year estimate of Soviet military forces. Follow-up action by Stoertz is noted in his hand on p. 3, dated 17 Dec 1964, after he briefed Enthoven along above lines. Enthoven will draft letter to JCS for DOD signature....

2. Letter to The Honorable Robert S. McNamara, Secretary of Defense, by John A. McCone, Director, 23 November 1964, 1 p. carbon, ER 64-7177/A, with 1 p. attachment, Memorandum for the Director, by Abbot Smith, Acting Chairman, Board of National Estimates, submitting 2 pp. carbon of letter from SecDef dated 24 October 1964 with proposed reply, ER 64-7177/1 and ER 64-7177. McNamara had thanked McCone on 24 October 1964 for IAP-64: Intelligence Assumptions for Planning - Soviet Military Forces through Mid-1970, which the SecDef believes useful; proposes to suggest lines for future development of this paper. McCone acknowledges suggestions and reviews plans already under way for updating the IAP. Photocopy of ER 64-7177, 24 October 1964 is also attached.

* Numbers assigned by CIA Historical Staff.

3. Memorandum for the Record, H. Stoertz, Jr., Discussion with Alain Enthoven, 22 September 1964, 3 pp. carbon, 2 copies, S. Stoertz and Ed Proctor lunched with Enthoven and two associates in Enthoven's office. Purpose: To give Enthoven a preview of NIE 11-8-64 for use in planning next year's DOD force structure recommendations; to give the SecDef an opportunity to request continuation of the IAP; scheduling of the IAP; data limitations on sophisticated analysis in support of estimates.

4. Memorandum for the Record, Edward W. Proctor, Chief, Military Economic Research Area, ORR, Discussions in DIA Military Costing Effort, 10 July 1964, 2 pp., photocopy, S. Discussion with George Fiske and [redacted] USA, of DIA, of DIA plans to enlarge its effort to cost Soviet military programs.

25X1

5. Proposed Adjustment of Soviet Military NIEs and IAP, unsigned outline, 19 June 1964, 1 p. ribbon copy, S. Headings include: Tailoring of NIEs toward general reader; wider distribution of IAP to military planners and wargamers as level of detail in NIEs is reduced; updating of IAPs as NIEs are completed, etc.

6. Memorandum for the Record, by [redacted] Meeting with Dr. Alain Enthoven, Deputy Assistant Secretary, Comptroller, on 18 February 1964, 19 February 1964, 2 pp. carbon on CIA/DIA Joint Analysis Group letterhead. Enthoven views NIEs as providing high probability estimates for two year period and IAP and OIEP as best available estimates for next four and five year period. Importance of the latter periods for US force planning. SecDef needs intelligence documents comparable to US Five Year Force Structure and Financial Plan. Efforts of SecDef to build a management-methods structure in the DOD for future secretaries.

25X1

7. Letter to Dr. Alain Enthoven, Deputy Assistant Secretary of Defense, Systems Analysis, OASD (Comptroller) by Howard Stoertz, Jr., 18 February 1964, 1 p. carbon, TS 185713b, confidential when enclosures are removed. Enclosure not attached. Transmits two copies of draft outline for quantitative summary of Soviet military forces to be prepared for Enthoven this spring. Invites him or his representative to attend meeting of USIB agency and subcommittee representatives tomorrow afternoon.

8. Draft Memorandum for USIB Agency Representatives and Committee Chairman, by [redacted] Executive Officer, National Estimates, IAP-64: Intelligence Assumptions for Planning -- Soviet Military Forces Through mid-1970 (Terms of Reference), 14 January 1964, 2 pp. lacks classification indicator. Attached is draft of terms of reference on above

25X1

SECRET

SECRET

subject, 14 January 1964, 8 pp., also unstamped.

9. Memorandum for [redacted] EE Staff, ONE, Comments on ACDA-2103, "The Determination of Remainers and Table of Comparative Inventories," 6 February 1964, 3 pp. carbon, S. As requested, we have reviewed ACDA study for consistency with NIEs and find it inconsistent in certain important respects. Most serious is ACDA's use of Air Force dissents to fix upper limits for ICBMs and heavy bombers....

25X1

10. Pencilled notes, of meeting between Stoertz and others, unnamed from CIA; Alain Enthoven, Dr. Hahanen, Dr. Rathbun, Mr. Trinkle, and Mr. Hayman, DOD [or its contractors] probably taken by Howard Stoertz, Jr., titled IAP Meeting with Enthoven & Co., Mid-Dec. 1963, 4 pp., classification not indicated. Discussed: Packaging, level of detail, and specific details for the proposed IAP Intelligence Assumptions for Planning.

11. Memorandum for Assistant Director, National Estimates, by [redacted] Chairman, CIA/DIA, Joint Analysis Group, Some Suggestions as to Points to be Covered in the Forthcoming IAP, 11 December 1963, 3 pp., ribbon copy, S. Estimates of specific numbers of Soviet weapons are needed to support various types of operational analyses, including full scale war gaming and strategic studies. Assumptions behind the numbers should be made clear. Numbers are required for missile, submarine, bomber, and other strategic systems. Exercise should include not only strategic offense, but the other force packages, including defense, theatre, naval, etc.

25X1

12. Memorandum for [redacted] Chairman, CIA/DIA Joint Analysis Group, by H. Stoertz, Jr., ONE Staff, Request for JAG Suggestions for Forthcoming "Giant IAP", 14 November 1963, 1 p., carbon, S. Requests suggestions for terms of reference for the forthcoming study of "Intelligence Assumptions for Planning -- Soviet Military Forces through 1969," as per their conversation of yesterday. See item 11 above for reply.

25X1

13. Improvised routing slip: From Sherman Kent to Howie [Stoertz], FYI, undated, asks: Does this raise any probs? Forwards standard routing slip to AD/NE, from John A. Bross, D/DCI/NIPE, 13/11/63, S, transmitting 1 p. carbon, of paragraph 10 of a memcon of discussion with General Carroll of 6 November 1963, S. In response to Bross' request placed on Gen. Carroll for his opinion of [redacted] staff, Carroll said in his opinion it served a useful purpose. He thought that Dr. Enthoven's requirements for authoritative, quantitative estimates for budgetary planning purposes were properly met by the BNE Estimates and referred to his conversation with Sherman Kent on that subject. He hoped that some suggestions he had made to

25X1

SECRET

25X1 [] in a different context would not make for any misunderstanding. As Bross understands it, Carroll suggested that the JAG, in projecting estimates into 1975, should not necessarily be bound by the discussions and assumptions postulated by the NIEs for the periods they covered.

25X1 14. Memorandum for the Record, by H. Stoertz, ONE, Meeting
25X1 of ONE and DIA Representatives with Enthoven Re Forthcoming
"Giant IAP", 25 October 1963, 2 pp., S, with 2 p. carbon copy.
[Sherman] Kent, [] and [Howard] Stoertz of ONE
together with [] of DIA met yesterday
with Enthoven to inform him that (a) USIB had approved the
proposal to prepare overall, quantitative "Intelligence
Assumptions for Planning -- Soviet Military Forces Through
1969" and (b) to solicit his guidance as to the specific timing
and scope of this project, to make it as responsive as possible
to the needs of the DOD planning staff. Discussed concern of
intelligence community that Enthoven's format might restrict
their flexibility and also discussed other details of implementa-
tion.

15. USIB-M-290, 3 October 1963, p. 3 Para. 5a., 1 p.
photocopy, S. Record of USIB approval of NIE Program for 1
October 1963 to 31 March 1964, including changing of title of
item 10 in schedule for First Quarter of 1964 to "Intelligence
Assumptions for Planning -- Soviet Military Capabilities Through
1969."

16. Letter to Dr. Alain Enthoven, OSD Comptroller, by
Sherman Kent, Assistant Director, National Estimates, 27 September
1963, 1 p. carbon, S. Mr. McCone and General Carroll have
agreed that the Intelligence Community shall go ahead with the
task you described to us last summer and work is under way. It
will be tabled as one of the items of the NIE program for the
coming quarter at next week's USIB meeting. Transmits briefing
memorandum prepared on the project for the USIB representatives.
Not attached. Next step will be to discuss scope and timing
more specifically with you.

17. Memorandum for the Director, by Sherman Kent, Chairman,
Board of National Estimates, Further Requirements from DOD on
Soviet Military Capabilities, 24 September 1963, 3 pp., ribbon
copy, signed, on ONE stationery. Reviews for the DCI the
proposal to meet DOD needs for numerical estimates on which to
base US long range military planning by producing a new document,
"Intelligence Assumptions for Planning -- Soviet Military Capa-
bilities Over the Next Six Years." Attached is one page photocopy
of letter to Sherman Kent from Alain Enthoven, Deputy Assistant
Secretary of Defense, 26 July 1963, S. Found discussions last
Friday stimulating and constructive. Encloses his notes in form

~~SECRET~~

25X1 of a draft for follow-up discussion. Would be interested in comments of Kent, [] Howie Stoertz, and others. Also encloses copy of memorandum from Charlie Hitch and General Carroll about 18 months ago indicating some of same ideas. Calls attention to Rand Memorandum RM-3612-PR, by [Joseph] Loftus and [Andrew] Marshall Forecasting Soviet Force Structure: The Importance of Bureaucratic and Budgetary Constraints. None of the items mentioned are attached.

18. ONE, Memorandum for the USIB Representatives, Further Requirements of OSD for Quantitative Projections on Soviet Military Capabilities, 27 September 1969, 3 pp., mimeographed, S. Reviews proposal to produce the new IAS estimate for use by the Office of the Secretary of Defense in making DOD decisions of future US force levels. Will combine the numbers from various US estimates in one document, processed like an estimate, and updated periodically.

19. Memorandum for Mr. Sherman Kent, CIA, by Alain Enthoven, Office of the Secretary of Defense, Notes on Long-Range Intelligence Projections of the Sino-Soviet Forces, 25 September 1963, 1 p. ribbon copy, S, enclosing Draft Memorandum for the Record, 25 July 1963, revised 22 September 1963, 12 pp., S. Part I describes need of DOD planners for six-year intelligence projections for planning purposes. Part II consists of Suggestions for Improving Intelligence Projections such as by intensive checking, relation of parts of the program to the whole, care to avoid overestimating, and presentation of optimistic, most likely, and pessimistic projections.

20. Four Propositions Relating to Enthoven's request for a long range community estimate of Soviet force structures, weapons characteristics and costs, unsigned, 26 July 1963, 6 pp. ribbon copy, S. Followed by enumeration of advantages and disadvantages and statement of two alternative responses, first, that it be processed by the JAG and second, by ONE, the USIB representatives, and USIB members, as are the NIEs. EE Staff of ONE recommends latter course to ONE. Under cover of routing slip from Sherman Kent, Ret Stoertz to hold.

21. Three Propositions Relating to Enthoven's requirements, unsigned, 25 July 1963, 3 pp. carbon of earlier version of Item 20 above, classification not indicated.

22. Untitled pencilled notes of Staff Discussion of proposed long range estimating to satisfy needs of DOD, unsigned, 25 July 1963, 3 pp., classification not indicated. Divided into substantive and administrative considerations.

23. Memorandum for Deputy Director Intelligence, by [] 25X1
[] CIA/DIA Joint Analysis Group, Department of Defense Intelligence Requirements, 19 July 1963. 1 p. carbon, DDI 3339-63.

~~SECRET~~

Transmits copy of the earlier Hitch memorandum, which led to establishment of JAG. After the Friday meeting, Alain Enthoven said he would send over a memorandum to amplify the points he made and will also ask Hitch to send memorandum to General Carroll, raising the issues Enthoven discussed with us but without proposing solutions. [] recommends that to implement the DDI's final words to Enthoven, JAG prepare a prototype report as soon as possible after publication of NIE 11-8-63, the prototype to be published as a Working Paper and contain detailed weapon systems programming and costing for a ten-year period, as a basis for a community decision. 25X1

24. Memorandum for Lt. General Joseph F. Carroll, Director of Defense Intelligence Agency, by Charles J. Hitch, Assistant Secretary of Defense, Future Needs Program for Intelligence Estimates and Analysis of the Intelligence, 17 November 1961, 5 p. copy, S. A basic paper explaining need for detailed long-range military-economic intelligence estimates of Soviet force levels to support the new planning and programming methods being introduced in DOD for high level advance planning.

25. Outline review of Intelligence Community needs for a packaged, quantitative compilation based on NIEs, for use in advance planning. Pencilled notes, unsigned, 19 July 1963, 4 pp., classification not indicated.

26. Memorandum for Assistant Director, National Estimates, Chairman, DIA/CIA Joint Analysis Group, and Chief, Military-Economic Division, ORR, by H[oward] Stoertz, Jr., Transmittal of Attached Compilation of Quantitative Estimates on Major Soviet Force Components and Weapon Systems, 15 July 1963, 3 pp., carbon, S. Consists of a compilation by ONE/EE of quantitative estimates of Soviet military forces from current NIEs, in anticipation of discussion with Dr. Enthoven of Friday, 19 July 1963. It is expected that Enthoven will request five-year quantitative projections including costs. Raises considerations of format, timing, omissions, inconsistencies, and great amount of detail required by DOD. Compilation not attached. Formerly TS/RD, unreg.

27. Draft Memorandum to AD/NE, by [] EE Staff, Response to DOD Consumer Requirements for Soviet Military Capabilities Estimates, 19 July 1963, 17 pp. ribbon copy, annotated, classification not indicated. In form of a staff study to determine nature of DOD consumer requirements and extent to which they can and should be met by ONE. Concludes with recommendations that JAG provide DOD with detailed projections of Soviet capabilities and alternative force structures and costs. That ONE support the JAG effort by making a series of adjustments to present estimates, as listed. 25X1

25X1 28. Memorandum for Assistant Director, National Estimates, by [redacted], Chairman, [JAG,] Suggested Approaches to Meet DOD Requirements for Detailed Intelligence Support for Planning, 9 July 1963, 4 pp. photocopy, S. Reviews DOD need for detailed long-range, quantitative, estimates of Soviet, Satellite, and Chinese Communist forces, to cover same period as that in the Secretary's Five Year Program, in phase with the DOD planning cycle. Could be done either by the USIB representatives following approval of NIE 11-8 by USIB or by JAG. Believes the second approach the most efficient solution to the problem.

29. Letter to the Honorable Robert S. McNamara, Secretary of Defense, by John A. McCone, Director, 28 March 1963, 2 p. photocopy, S. Transmits ten-year projection of alternative Soviet military postures, prepared by the DIA/CIA Joint Analysis Group, in response to the Secretary's request of 6 September 1962. Draft of the report was reviewed by BNE and USIB, who do not necessarily agree entirely but are agreeable to its being forwarded. Forces shown for 1967 are in consonance with recently completed NIE 11-4-63. Attachment not included.

30. Memorandum for the Director of Central Intelligence, by Ray S. Cline, Deputy Director (Intelligence), DDI Position on "Alternative 10 Year Projections of Soviet Military Posture," 25 March 1963, 2 pp. photocopy, S. DDI recommends the study be forwarded to DOD. It is a good initial effort in a highly complex field. Has been revised on basis of suggestions from ONE, ORR, and OSI. Believes the joint effort has succeeded and it should be continued as long as DOD requires these long-range estimates.

25X1 31. Memorandum for the Director of Central Intelligence, by [redacted] Chairman JAG, Annual Report, CIA/DIA Joint Analysis Group, 25 March 1963, 2 pp. photocopy, S. Recommends approval of first JAG report to Mr. McNamara. Attaches suggested letter of transmittal; also recommends continuation of group and reviews next year's production plans.

32. Memorandum for Deputy Director/Intelligence, by Sherman Kent, Assistant Director, National Estimates, ONE Comments on CIA/DIA JAG: 6-63, Alternative 10 Year Projections of Soviet Military Posture (Draft 18 February 1963), 8 pp. photocopy, TS. Recommends approval with minor revisions and caveats as indicated.

33. Enthoven, Alain C., "Systems Analysis and Decision Making," Military Review, Vol. XLIII, No. 1 (January 1963), pp. 7-17, photocopy, U. Attempts to alleviate concern of career

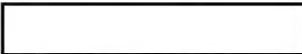
military officers that systems analysis involves relinquishing of experienced professional judgment to computers. Discusses objectives of the US posture, design of major components, alternatives for policy makers, choices between weapon systems within total resource allocations, coping with uncertainties of the enemy's posture, political and economic factors of defense policy, role of value judgments in policy decisions, limitations of computers, and the dialogue between the policy maker and the systems analyst.

34. USIB-M-219, 13 June 1962, Draft Minutes of meeting of same date, 1 p. photocopy, S, as 3 p. attachment, Paragraph 4 of which appraises the Board that CIA and DIA have established the Joint Analysis Group to prepare ten-year projections of alternative Sino-Soviet force postures for the Secretary of Defense for use as planning assumptions. USIB noted that the product of the Group would normally be prepared on an annual basis and presented to the Board for consideration prior to its submission to the Secretary of Defense. Also attached are the Terms of Reference for the JAG, n.d., 2 pp. photocopy, S,

35. Memorandum for Deputy Director (Intelligence), by Edward W. Proctor, Chief, Military-Economic Division, ORR, CIA Support of DIA Military Cost Estimates, 22 July 1963, 2 pp., carbon, S, with two attachments consisting of one and two pp. carbons, S. Informs DCI that DIA is planning to expand its military costing effort, which will require additional support from ORR, which in turn will need more personnel to do this work. Attachment 1 is the draft of a proposed letter from the SecDef to the DCI stating that it would be more efficient if DIA continued to obtain its basic cost inputs from CIA. If CIA will give assurance of such support he sees no need to establish a duplicate costing effort in DIA. Attachment 2 summarizes a DIA staff study stating that with CIA support and limited contractual assistance, DIA can meet its costing obligations to the DOD by expanding its five-man Economics Section to 15 persons in a new branch.

36. Memorandum for Deputy Director (Intelligence), through AD/RR, through Chief, Economic Research Area, ORR, by Edward W. Proctor, Chief, Military-Economic Division, ORR, 27 June 1963, 4 pp. carbon, S, enclosing draft of proposed letter from Secretary McNamara to Mr. McCone, 1 p, photocopy, S, and 2 pp. carbon of Excerpts from DIA Production Center Staff Study Report, Involvement in Military Economic Intelligence (17 June 1963), S. Consists of earlier versions of item 35 above. Expects DIA to call on ORR/CIA for support in building an economic analysis capability. Agrees CIA should assist but with the understanding that CIA will have primary responsibility for military-economic estimating. ORR will also require more personnel for military-economic analysis to support increased demands from the Secretary of Defense and DIA.

37. ONE, EE Staff, Proposed Schedule of Soviet Military Estimates, Calendar Year 1964 and January 1965. Consists of 10 copies of a 1 page photo-offset chart, No. 640,207, S.


Deputy Chief, CIA Historical Staff

25X1